

NOTICE

Security and Safeguards Division

October 1, 2002

Notice No. 0102

Requirements for Classification Upgrades

Background / Scope

DOE/NNSA has directed that certain nuclear weapon design information, heretofore classified as Confidential Restricted Data (CRD), be upgraded to Secret Restricted Data (SRD). This upgrading action affects generally:

1. design information on gun-assembled weapons, and
2. design information on primaries of staged nuclear weapons

Specific elements of classified information to be upgraded are detailed in DOE-approved classification guidance, which is classified.

There may be of the order of 100,000 CRD documents and other materials at LANL requiring review for possible upgrading. It is estimated, however, that a relatively small percentage of CRD documents will actually qualify for upgrading because SRD information is very often commingled with CRD information in the same document in the subject areas affected by the upgrades. Allowing upgrading on a “when-used” schedule significantly mitigates the initial burden of the upgrade requirements. The impact of the additional upgrade requirements is moderate.

The classification requirements contained in this Notice augment those contained in Classified Security LIR [Attachment 7, “Classification of Matter.”](#)

Acronyms & Initialisms

ADC—authorized derivative classifier

CMC—classified matter custodian

CRD—Confidential Restricted Data

CUWG—Classification Upgrades Working Group

SRD—Secret Restricted Data

Requirements for Classification Upgrades

General Requirements

Person/Organization Shall	
Worker	<ul style="list-style-type: none">• Identify and screen CRD matter that is potentially eligible for upgrade.• Mark screened matter as either qualifying or not qualifying for upgrade review.• Contact an ADC to review any matter identified by the screening process as eligible for upgrade review.• Verify that the materials are correctly marked upon return from the ADC
Classified Matter Custodian (CMC)	<ul style="list-style-type: none">• Ensure that all matter determined to be eligible for upgrade is reviewed and marked according to the classification upgrade requirements. Guidance Note: Marking of upgraded matter may be performed by the ADC during the review and upgrade of the matter.
Authorized Derivative Classifier (ADC)	<ul style="list-style-type: none">• Authorize upgrading of qualifying CRD matter, when necessary.• Classify newly generated materials according to revised DOE approved classification guidance.• Refer questions and problems to the CUWG point-of-contact.
Classification Upgrades Working Group (CUWG)	<ul style="list-style-type: none">• Address questions or problems concerning classification upgrade requirements.• Report issues or problems concerning requirements for the classification upgrades activity to the S Division Classification group (S-7).
Classification Group (S-7)	<ul style="list-style-type: none">• Serve as final arbiter of any classification issues• Conduct meetings of the Classification Upgrades Working Group (CUWG) as necessary.• Issue upgrade requirements and newly revised DOE classification guidance to ADCs.• Issue screening criteria for CRD matter that is potentially eligible for upgrade.

Requirements for Screening Classified Matter

- Workers shall submit any material containing any of the following information to an ADC for review.
 - ? Design information for internal components or assemblies of gun-assembled weapons, weapon specified or unspecified.
 - ? Design information for implosion assembled weapons or primaries, including nonnuclear components, from the outer surface of the high explosive layer in, weapon specified or unspecified.
- Guidance Note:** Design information includes any specifications, dimensions, volumes, masses, thicknesses, shapes, or other specific information.
- Matter that is in routine use shall be screened for potential upgrading as soon as possible.
 - ? Any Q-cleared, subject matter-knowledgeable worker (TSM, SSM, TEC, OS/GS) shall be approved to screen CRD matter.

Guidance Note: Organizations may contact S-7 (7-0850) for assistance in determining what constitutes matter in routine use.

- Matter that is **not** in routine use shall be screened for upgrading when it is first used.
 - ? Screening SRD electronic media, microfilm, or microfiche shall not be required. If a CRD document is printed from an SRD system, the document shall be labeled SRD until reviewed by an ADC and determined to be CRD.
 - ? Screening databases or large collections of documents shall not be required. Matter retrieved from large collections or databases shall be screened when it is retrieved. **Guidance Note:** When a CRD document is printed, reviewed by an ADC, and the classification either upgraded or retained, the holder may mark the original document in the collection to reflect the upgrading action. This option may be appropriate if the marking change is easy to perform, and/or the document is frequently used.
- CRD matter generated prior to October 1, 2002 shall be screened and reviewed before L-cleared workers are granted access to the matter.
 - ? *If* an L-cleared worker has been granted access to CRD matter that is subsequently upgraded to SRD *and* this access was granted prior to October 1, 2002 *then* the disclosure shall not be considered a compromise.

Requirements for Upgrading Classified Matter

- An ADC shall review any matter determined to be potentially eligible for upgrade as a result of the screening process.
 - ? If the ADC determines that the matter qualifies for upgrading, the ADC shall use the “Classification Upgrade” stamp, and change the classification markings as described in “Requirements for Marking Upgraded Matter,” below.
 - After stamping the cover page and providing the information required by the stamp, the ADC shall be permitted to submit the matter to a CMC for marking.
 - The “Upgrades Memo” shall **not** constitute a classification source. The document containing the guidance used to classify the matter shall be cited.
 - ? If the ADC determines that the matter does not qualify for upgrading, he/she shall
 - check the “ADC determined N/A” box on the screening stamp, and
 - initial and date the fields provided on the screening stamp.
- Any issues or questions shall be referred to the S-7 Classification Upgrades point-of-contact.
- CRD matter generated after October 1, 2002 shall be classified according to the updated requirements in the revised LANL classification guide (LA-4000 rev. 8) or other DOE approved classification guide.

Requirements for Handling and Storing Matter

- CRD matter that would otherwise require an upgrade screening shall be exempt from the upgrade process if
 - ? the matter is stored in files or other storage locations to which access is restricted to Q cleared workers, and
 - ? the matter is removed only for inventory, or reference and is immediately returned to the file or storage.
- Any matter removed from these files/storage locations for routine use shall be screened and reviewed for upgrading and shall be restricted to only Q cleared workers prior to screening and review.
- There is no easy method to modify markings on some forms of classified matter, such as scanned images, microfilm, and microfiche; therefore, in cases where re-marking is not practical, CMCs shall:
 - ? ensure the matter is reviewed and, if required, upgraded as a whole; or
 - ? store the matter in file or location with access restricted to only Q-cleared workers.

Requirements for Marking Screened CRD Matter

- In order to avoid redundant screening of CRD materials, screened material shall be marked as follows:

Screened/Reviewed for Upgrade		_____
		(date)
<input type="checkbox"/> N/A		
<input type="checkbox"/> Refer to ADC		
<input type="checkbox"/> ADC Determined N/A	_____	_____
	(ADC initial)	(date)

Guidance Note: This stamp is available from The Printworks in Espanola. See the ["Classification Upgrades"](#) page for ordering instructions.

- The screener shall
 - ? check the box that most accurately reflects the result of the screening, and
 - ? enter the date the material was screened.
- If "refer to ADC" is checked, upon review by an ADC, the ADC shall strike through the "refer" line and shall either check the "determined N/A" box or upgrade the classification.

Requirements for Marking Upgraded Matter

- Since qualifying materials are being upgraded from CRD to SRD, no change in the category (Restricted Data) marking shall be required on the front of printed documents.

- On each page, the top and bottom “CONFIDENTIAL” or “CONFIDENTIAL/RD” marking shall be struck through and replaced with “SECRET” or “SECRET/RD.”
 - ? Classification documentation accompanying classified parts or other non-printed matter shall be marked as clearly as possible.
- Additionally, a marking shall be placed on the front of the document/classification documentation that contains the following:

Classification changed to SECRET RESTRICTED DATA	
by authority of _____	
(name and date of classification guide used)	
_____	_____
(Derivative Classifier)	(date)

Guidance Note: This stamp is available from The Printworks in Espanola. See the [“Classification Upgrades”](#) page for ordering instructions.

Additional Requirements for Authorized Derivative Classifiers (ADCs)

- ADCs shall be authorized to upgrade matter based solely upon written classification guidance provided by S-7.
- ADCs shall be authorized to direct (orally or in writing) CMCs to upgrade classified matter.
 - ? Written notice shall be required only when the matter being upgraded has been distributed outside the DOE complex (i.e. DOE, its contractors and subcontractors).
- An ADC shall be authorized to upgrade CRD matter originated by a non-LANL source if
 - ? the matter meets the upgrade criteria in the revised classification guidance, and
 - ? the Classification (S-7) group leader has delegated such authority to the specific ADC.

References

“Classification Upgrades” Web page, 9/23/02,
<http://int.lanl.gov/security/classification/upgrades.shtml>

DOE M 475.1-1A *Identifying Classified Information*, 8/5/98,
<https://directives.doe.gov/pdfs/doe/doetext/restrict/neword/475/m4751-1a.pdf>

Questions?

Please address questions regarding classification upgrades to Dan Gerth (7-0850) in the Classification group (S-7).

*The OIC for this notice is S-7, **Classification** and the responsible division director is S-DO. This notice will remain in effect until the clarified requirements are introduced into **Classified Security LIR Attachment 7, “Classification of Matter.”***